

Initial Processing – Case Creation: Appeals

FDPS 4.0

Agenda

Topics Covered for Appeals

- Creating an Appeal Reference
- Closing an Appeal Reference
- Opening a Remanded Appeal

Initial Process: Appeal References and Appeals

- **Appeal Reference** – indicator that is inextricably linked to the pertinent FOIPA case.
- **Appeal** – a FOIPA case that has been re-opened in response to an OIP remand.

Initial Process: Creating an Appeal Reference

1. Access FOIPA case through Retrieval Search
2. Click on **ADD APPEAL REFERENCE** icon

The screenshot displays the 'HighView RDP5 Case' application window for Case ID 1178683. The interface includes a top toolbar with various icons, a menu bar with options like 'Case Summary', 'Status', 'Expedite', 'Fee Waiver', 'Case Searches', 'Case Files', 'Documents', 'Work Items', 'Releases', 'Case Fees', and 'History'. The main form area contains several sections: 'Case' with fields for Type (FOIA), Sub Type (Reopen), Sub Sub Type, FOI/PA #, Requester Type, Requested Media (CD), Case Size, Max Cost (0), Received date (05-23-2012), and By; 'Subject' with Description and Sub Description; 'Requester' with Type (Individual) and Name; 'Originating Offices' with a list of offices (HQ - FBI Headquarter, AA - Ankara, AC - Accra, AD - Abu Dhabi, AG - Algiers, AH - Athens, AL - Albany, AM - Amman, AN - Anchorage) and a 'Selected' list containing 'FBI Headquarters'; and 'Negotiations' with To, From, and Date fields. A large 'Add Appeal Reference' button is prominently displayed in the center-right of the form.

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Initial Process: Creating an Appeal Reference

3. Enter APPEAL NUMBER (this is found in OIP's appeal letter).
4. Enter Status, which will most likely be "OPEN" at the initial entry stage.
5. Click **SAVE** and exit out the **GREEN DOOR**.

Appeal Record

Appeal | History

Appeal Reference

Appeal # 201212345

Status OPEN

Disposition

Receive Date 05-23-2012

Created Date 05-23-2012

Status Date 05-23-2012

Adjudicated Date 05-23-2012

Modified Date

Modified By: User Name goes here

Assigned Date 05-23-2012

Assigned To: User Name goes here

Closed Date 05-23-2012

Closed By: User Name goes here

Attorney Name

Case Information

FOIPA #

Subject Description

Sub-Description

Subject Type Individual

Subject Category General Privacy Act Request

Case Type FOIA

Sub-Type Reopen

Sub-Sub-Type

Case Status

Case Processed

Closed Reason

Closed Date

Reopen Reason Payment Received

Reopen Date 05-23-2012

Suspend Reason

Suspend Date

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Initial Process: Appeal Reference

○ The appeal reference can be accessed and modified from either the **STATUS** tab of a request or from the **APPEAL REFERENCE** folder.

○ The **STATUS** tab of a FOIPA case will also indicate that there is an appeal pending for the case.

○ If you have the **APPEAL REFERENCE** folder, you will be able to see the appeal reference from the folder.

The screenshot displays the FOIPA Analyst 1 application interface. The top window shows a folder tree with 'Inbasket' expanded, and 'Appeal Reference' highlighted. Below this, a 'Quick Search' section is visible. The main window is a detailed case summary for Case ID 1131499, showing various fields for case management, including 'Current Status' (Out of Workflow), 'Disposition' (Closed), and 'Appeal Reference' (1131499).

Case Summary Fields:

- Case ID: 1131499
- Current Status: Out of Workflow
- Updated: 01-06-2011 By: [User]
- Disposition: Closed
- Other Desc: No Records
- On: 01-06-2011 By: [User]
- Reason: [User]
- Suspension Reason: [User]
- Deadline: 01-06-2011
- Processed Under: [User]

Appeal Reference Table:

Status	Date	Status	Appeal Number	Attorney	Date Recd	Assigned To
Out of Workflow	01-06-2011	Out of Workflow	1131499	[User]	01-06-2011	[User]

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Initial Process: Closing an Appeal Reference

- At the time OIP has resolved the appeal, the appeal reference will be closed in the system.
- Depending on the decision that is made by OIP will determine if an Appeal is opened subsequent to the Appeal Reference.

Initial Process: Closing an Appeal Reference

1. Access the Appeal Reference from the **STATUS** Tab of the FOIPA case and double click the Appeal Reference from the bottom window.

HighView FDPS Case [Case ID - 1131499]

Case Summary | Status | Expedite | Fee Waiver | Case Searches | Case Files | Documents | Work Items | Releases | Case Fees | History

Current Status: Out of Workflow
 Updated: 11-01-2011 By: []
 Disposition: Closed

Closed Reason: No Records
 Other Desc: []
 On: 01-06-2011 By: []

Reopened Reason: []
 On: 05-25-2011 By: []

Suspension Reason: []
 Deadline: 05-23-2012
 Processed Under: []

Info Flags: Congressional Inquiry, Expedite, Fee Waiver, Negotiated, No Record, Non-Imported Media
 Info Flags Applied: []

Pages: Actual: 0 Reviewed: 0 Released: 0
 Perfected Date: 05-23-2012 By: []
 Assigned Backlog Date: 05-23-2012 By: []
 Assigned FOIPA Date: 05-23-2012 By: []
☐ Direct Assign Direct Assign User: []

Appeal References:

Status Date	Status	Appeal Number	Attorney	Date Recd	Assigned To
03/23/2011	Assigned	20120001	[]	03/23/2011	

Initial Process: Closing an Appeal Reference

2. Change status to **CLOSED**
3. Select **DISPOSITION** (Affirmed, Remand, Administrative, DRC Review, etc.); **ASSIGNED USER** and **ADJUDICATION DATE**
4. Enter name of OIP Attorney
5. Click **SAVE** and exit out the **GREEN DOOR**

Appeal Record

Appeal | History

Appeal Reference

Created Date: 05-03-2013 Modified Date: Modified By:

Appeal #*: 2013-6543 (e.g. AP / FFO / mm) Receive Date*: 05-03-2013

Status*: Closed Status Date: 05-03-2013

Disposition: Remanded (FOI/PA Process) Adjudicated Date: 05-03-2013

Assigned User: Assigned Date: 05-03-2013

Closed Date: 05-03-2013 Closed By:

Attorney Name:

Case Information

FOI/PA#: Receive Date: 05-03-2013 Created Date: 05-03-2013

Subject Description:

Sub-Description:

Subject Type: Individual Subject Category:

Case Type: FOIA Sub-Type: Standard

Sub Sub-Type:

Case Status: Case Processed:

Closed Reason: Closed Date:

Reopen Reason: Reopen Date:

Suspend Reason: Suspend Date:

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Initial Process: Creating a Remanded Appeal

- For closings that do not require further action (affirm, administrative, etc.), the appeal reference will now be closed and disappear from the Appeal Reference folder.
- For Remand or DRC review closings, an “Appeal” must be opened.

Initial Process: Creating a Remanded Appeal

1. When closing the appeal reference as **REMANDED**, you will be prompted to create an appeal case the second you click the **SAVE** icon. You will also have to select an **ASSIGNED USER**.

2. Click **YES**

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Appeal Record

Appeal | History

Appeal Reference

Created Date: 05-03-2013 Modified Date: Modified By:

Appeal #: 2013-6543 (e.g. AP 11/01/2011) Receive Date: 05-03-2013

Status: Closed Status Date: 05-03-2013

Disposition: Remanded (FOI/PA Process) Adjudicated Date: 05-03-2013

Assigned User: Assigned Date: 05-03-2013

Closed Date: 05-03-2013 Closed By:

Attorney Name:

Case Information

FOI/PA #: Receive Date: 05-03-2013 Created Date: 05-03-2013

Subject Description:

Sub-Description:

Subject Type: Individual Subject Category:

Case Type: FOIA

Sub Sub-Type:

Case Status:

Closed Reason:

Reopen Reason:

Suspend Reason:

Closed Date:

Reopen Date:

Suspend Date:

AppealRecord

Appeal Remanded.
Do you wish to close and create appeal case?

Yes No

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Initial Process: Creating a Remanded Appeal

3. Clicking YES *automatically* transports you to CASE CREATION
4. Important fields will auto-populate! Ensure that Case Type shows **APPEAL**, Sub-Type is filled out, and that the **APPEAL INFORMATION** box has correctly populated.

The screenshot shows a 'Case Creation' window with the following sections:


- Case Information:** Includes 'Case Type' (set to 'Appeal'), 'Sub-Type', and 'Sub Sub-Type'.
- Appeal Information:** Includes 'Previous FOIPA #' and 'Appeal #'.
- General Case Details:** Includes 'Receive Date' (05-23-2012), 'Release Type*', and 'Max Cost (\$)*'.
- Originated Office*:** A list box containing: HQ - FBI Headquarters, AA - Ankara, AC - Accra, AD - Abu Dhabi, AG - Algiers, AH - Athens, AL - Albany, AM - Amman, AN - Anchorage.
- Selected Orig Office*:** An empty box with 'Add >>' and '<< Remove' buttons.
- Information Flags:** A list box containing: Congressional Inquiry, Expedite, Fee Waiver, No Record, Non-Imported Media.
- Selected Info Flags:** An empty box with 'Add >>' and '<< Remove' buttons.
- Buttons:** 'Reset', 'Cancel', and 'Continue' at the bottom.


Initial Process: Creating a Remanded Appeal

5. Enter all required General Case Details; **Sub-Type; Originating Office; Release Type; Max Cost** (If applicable-also enter any *Information Flags*)
6. Click **CONTINUE**
7. You will be notified that the appeal has been created. This means the FOIPA case is re-opened.
8. Click **OK** and scan in OIP adjudication letter.

The screenshot displays the 'Case Creation' software interface. The 'General Case' tab is active, showing fields for Case Type (set to 'Appeal'), Sub-Type, and Sub Sub-Type. The 'General Case Details' section includes 'Receive Date' (05-23-2012), 'Release Type*' (CD), and 'Max Cost (\$)*' (\$100). A list of 'Originated Office*' is shown on the left, with 'HQ - FBI Headquarter' selected in the 'Selected Orig Office*' field. The 'Information Flags' section includes 'Congressional Inquiry', 'Expedite', 'Fee Waiver', 'No Record', and 'Non-Imported Media'. A 'Selected Info Flags' section is also present. A 'Case Created' dialog box is overlaid on the screen, displaying the message: 'Case [redacted] has successfully created. Please load the request letter onto the scanner.' with an 'OK' button. At the bottom of the main window, there are 'Reset', 'Cancel', and 'Continue' buttons. The 'Continue' button is circled with a red line.

Initial Processing – Appeals

- Newly-opened appeals do not receive a new extension (i.e. they do not become -001, etc.).
- Newly-opened appeals go to the “GC IPU Work” queue and will have an ^{EXHIBIT}
 in front of the case number

Case Number	Case Type	Received Date	Subject
1  <input type="text"/>	AP	2013-05-03	<input type="text"/>

- Appeals are extremely important. The new system streamlines processing and minimizes the possibility of errors.

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